

# Naval Inspector General



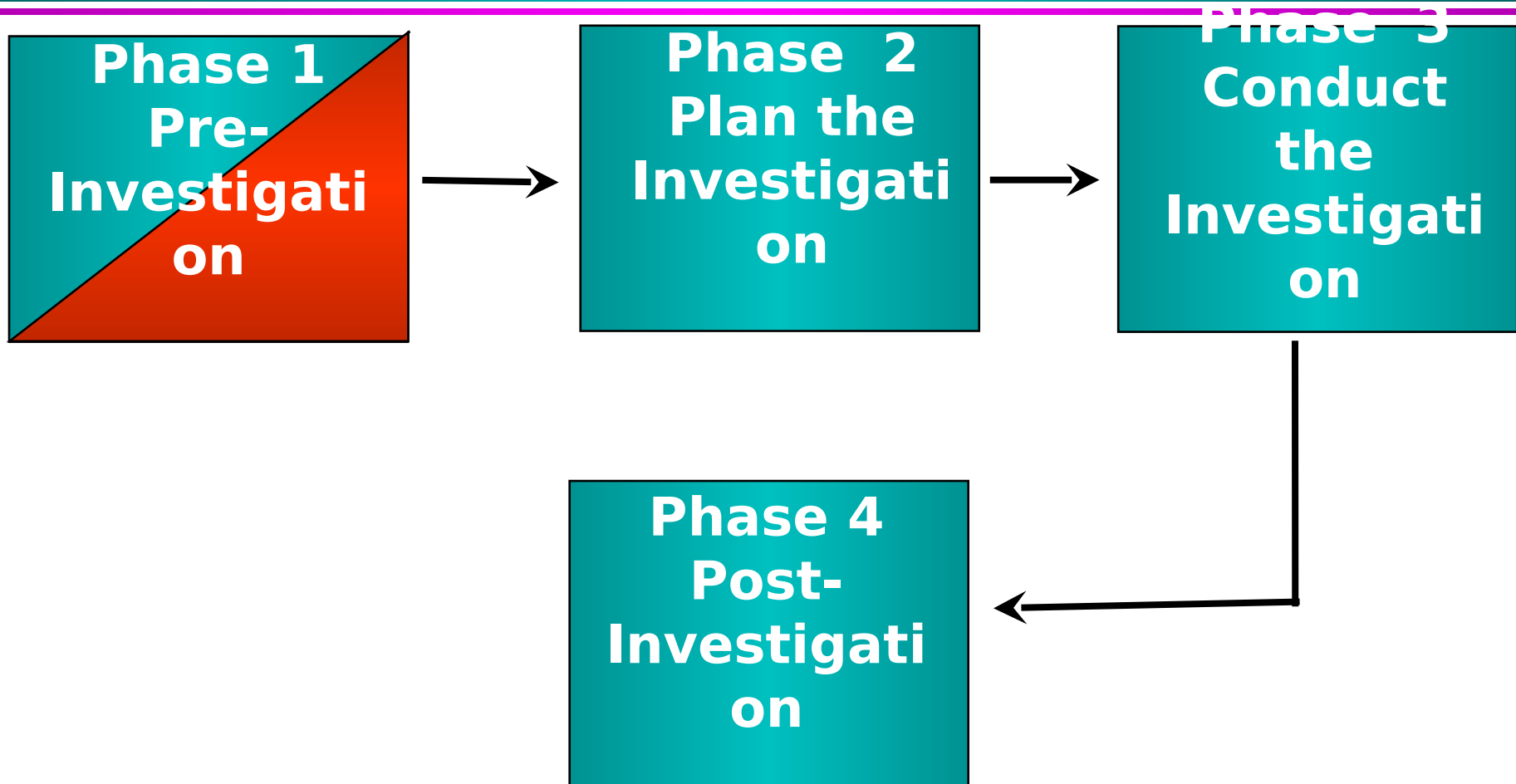
*Washington Navy Yard, DC*



*Conscience of the Navy...Making a Difference!*



# Naval Inspector General Complaint Resolution Procedure





# **Naval Inspector General Complaint Resolution Procedure**

## **Phase 1: Pre-Investigation**

**Receive the Complaint**

**Analyze the Complaint**

**Draft the Allegation(s)**

**Determine the Action**

**Notify the Complainant**

## **Phase 2: Plan the Investigation**

**Assign the IO**

**Mentor the IO**

**Prepare & Maintain the  
Plan**

## **Phase 3: Conduct the Investigation**

**Gather Information**

**Interview**

**Write the Report**

## **Phase 4: Post-Investigation**

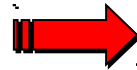
**Conduct Quality Review of  
the Report**

**Notify Complainant & Subject**

**Prepare the Case File for  
Closing**



# Phase 1: Pre-Investigation Complaint Resolution Procedure



## **Receive the Complaint**

Analyze the Complaint

Determine the Action

Draft the Allegation(s)

Notify the Complainant



# Receive the Complaint

- From any source
  - Public citizen, military member, Navy civilian, contractor
  - Higher Echelon IG office
- Via any means
  - In person, telephone, letter
  - Electronic (e-mail, online form, fax)
- About what?
  - DON operations – organizations – functions – personnel



# Receive the Complaint

- Explain the role of the IG and hotline process
- Ask **How** they have tried to resolve the issue
  - Brought the issue to attention of chain of command?
  - Filed a complaint with another agency / individual?
  - Written their congressman?



# Receive the Complaint

- Ask the complainant if they wish to
  - File the complaint anonymously, or
  - Remain confidential

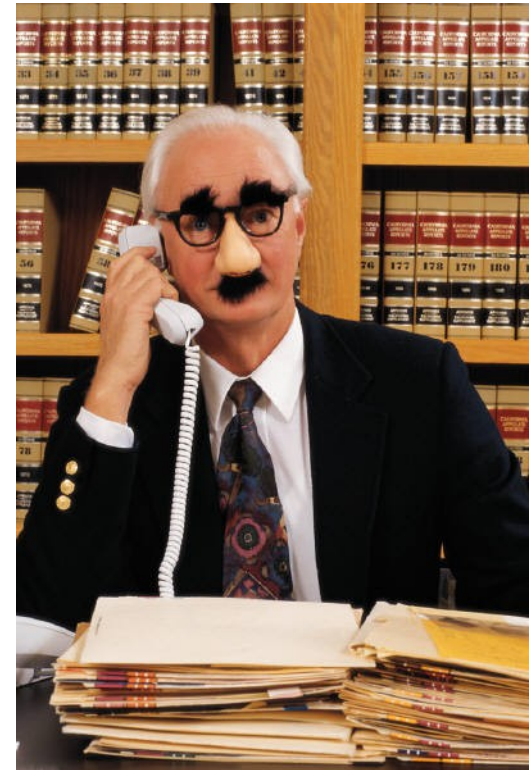






# Receive the Complaint

- Anonymous Complaint is someone who:
  - Does not provide a name or means of contact
  - Submits the complaint via e-mail but does not identify him / herself







# Receive the Complaint

- Confidential complainant – cannot guarantee confidentiality
  - Complainant releases identity to the IG with the understanding that:
    - Their identity will only be released to the investigator
    - Their identity will not be released to the investigator



# Receive the Complaint

- **Who** is the subject?
- **To which** command / activity was the subject assigned when the alleged wrongdoing occurred?
- **When** did the events occur? (90-day rule may apply)
- **Where** did the event occur?
- **Who** can corroborate the complaint? Witnesses?





# Receive the Complaint

## TELEPHONE INTAKE FORM

Complainant is anonymous/confidential (please circle one)

Contact information (if applicable):

Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

E-mail \_\_\_\_\_

Phone number with area code \_\_\_\_\_  
\_\_\_\_\_

Nature of complaint: \_\_\_\_\_

Who is the subject and which command/activity? \_\_\_\_\_

What is the alleged wrongdoing? \_\_\_\_\_

When did it occur? \_\_\_\_\_



# Receive the Complaint

(4) Are there any witnesses? \_\_\_\_\_

(5) Who else have you informed regarding this matter? \_\_\_\_\_

(6) Have you tried to address this issue within the chain of command?

No – Why not?

Yes – Who and when and what was the response

\_\_\_\_\_

(7) What would you like the IG to do? \_\_\_\_\_

Date of Complaint:

Complaint taken by: \_\_\_\_\_

Referred to: \_\_\_\_\_

Navy Hotline Number assigned: \_\_\_\_\_



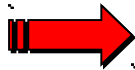
# Receive the Complaint

- Request the complaint in writing w/supporting documents
- Explain the complaint acknowledgement process
- Open a case file





# Phase 1: Pre-Investigation Complaint Resolution Procedure



- Receive the Complaint
- **Analyze the Complaint**
- Draft the Allegation(s)
- Determine the Action
- Notify the Complainant



# Analyze the Complaint

- Is the matter appropriate for an IG investigation?
- If so, what rules, laws, regulations, or command instructions apply?
- Are some issues appropriate for an alternative complaint resolution process?
- Should you refer some issues to the chain of command?
- Do any issues require special handling?





# Analyze the Complaint

- **Identify the applicable standards**
  - Rules, regulations, instructions, statutes
  - Seek the assistance of the IG, JAG, Command Legal Officer, SME, seasoned investigators
  - NAVINSGEN Website
- Generally - no standard – no investigation, however....



# Analyze the Complaint

## Issues that Warrant Investigation

- Issues that warrant an IG investigation
  - Fraud
  - Waste
  - Mismanagement
  - Reprisal (Military Whistleblower Protection)
  - Improper Referral for Mental Health Evaluation



# Analyze the Complaint Matters Appropriate for the IG

- **Abuse of Title or Position**
- **Bribes / Kickbacks / Acceptance of Gratuities**
- **Conflicts of Interest**
- **Ethics Violations**
- **False Official Statements/Claims**
- **Fraud**
- **Gifts (Improper receipt or giving)**
- **Improper Referral for Mental Health Evaluations**
- **Mismanagement/Organization Oversight (Significant Cases)**
- **Misuse of Official Time, Gov't Property, Position and Public Office**
- **Political Activities**
- **Purchase Card Abuse**
- **Reprisal (Military Whistleblower Protection)**
- **Safety/Public Health (Substantial/Specific)**
- **Systemic Problems**
- **Time and Attendance (Significant Violations)**
- **Travel Card Abuse**
- **Travel Fraud (TDY and TAD)**
- **Waste (Gross)**



# Analyze the Complaint

## Matters Appropriate for the Chain of Command

- The Chain of Command is the appropriate venue for many complaints
- Examples of Chain of Command issues
  - Counseling for unsatisfactory performance
  - Minor time and attendance violations
  - Minor mismanagement issues



# Analyze the Complaint

## Matters Appropriate for the Chain of Command

- Grievance procedures
  - Supervisor, division officer, division chief, Command Master Chief
  - Informal complaint resolution process – Sexual Harassment / EO complaint
  - Request mast
  - UCMJ Article 138 or NAVREG Article 1150 complaint



# Analyze the Complaint Matters Appropriate for Alternate Complaint Processes

- Some matters may be referred to another grievance process or agency for resolution
- Examples include:
  - Correction of military records (BCNR)
  - Disputed pay issues - travel claims and per diem (DFAS, PSD)
  - Discharges awarded by court martial (BCNR)
  - Navy civilians' suspension of more than 14 days (MSPB)



# Analyze the Complaint Matters that Require Special Handling

If the allegation involves any of the following, **STOP** the inquiry and immediately contact the appropriate office.

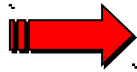
- **Military Whistleblower Reprisal**  
(NAVINSGEN or DoD IG)
- **Improper Referral for Mental Health Evaluation**  
(NAVINSGEN or DoD IG)
- **Suspected Criminal Activity** (NCIS)
- **Senior Official Misconduct** (NAVINSGEN)







# Phase 1: Pre-Investigation



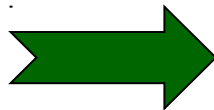
- Receive the Complaint
- Analyze the Complaint
- **Determine the Action**
- Draft the Allegation(s)
- Notify the Complainant



# Determine the Action Transfer

**Transfer** – ownership of the complaint to another Navy IG command

NAVINSGEN  
to Echelon 2  
IG



Echelon 2 IG  
to lower  
Echelon IG





# Determine the Action Assist

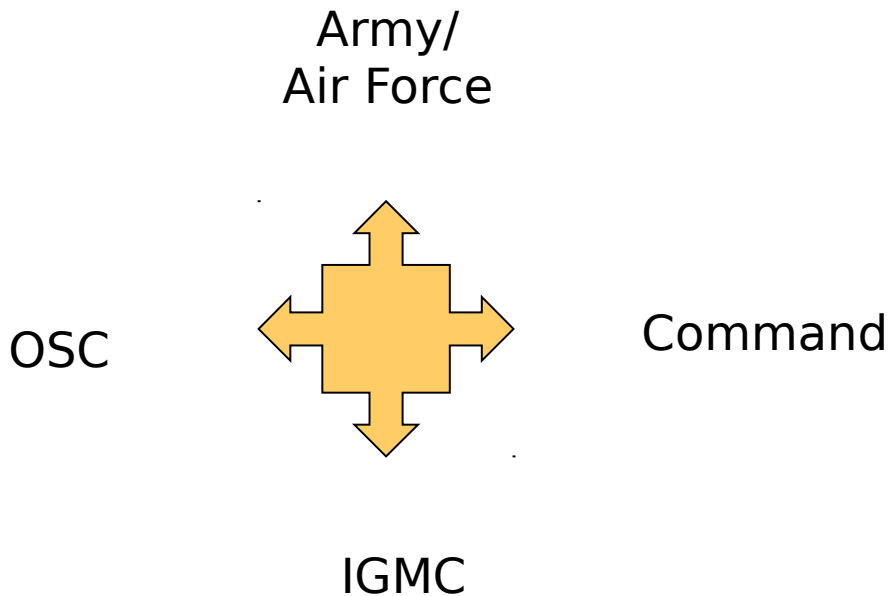
**Assist** – IG helps the complainant by informing them about alternative complaint processes or means to resolve the complaint.





# Determine the Action Refer

**Refer** - outside of Navy IG channels to another service IG or agency





# Determine the Action Dismiss

**Dismiss** – close based on insufficient information in the complaint, or the complaint is frivolous or untimely

**No further action required.**

**Except... make sure you**

**document the receipt of the complaint!**



# Determine the Action Investigate



**Investigate** – IO tasked to conduct an investigation

- Preliminary Inquiry
- Full Investigation

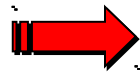


# Phase 1: Pre-Investigation Complaint Resolution Procedure

A graphic consisting of a square divided diagonally from the bottom-left to the top-right. The upper-left triangle is teal and the lower-right triangle is red. The text "Phase 1: Pre-Investigation" is written in white, with "Phase 1:" and "Pre-" on the teal background and "Investigation" on the red background.

## Phase 1: Pre- Investigation

- Receive the Complaint
- Analyze the Complaint
- Determine the Action
- **Draft the Allegation(s)**
- Notify the Complainant







# Draft the Allegation(s) Investigate

## ■ **Allegation**

- Declaration or assertion of fact that if proven constitutes adverse information

## ■ **Framing the Allegation** - Single most important factor

- Stated in the IO's words (not complainant's)
- Single subject / Single wrongdoing
- Linked to a policy, statute, regulation/rule
- Date or time frame



# Draft the Allegation(s)

- Review documentation (Complaint, attachments)
- Understand allegation: who, did what, in violation of what, when
- Understand standard(s)



# Draft the Allegation(s)

---

Who: Someone (the subject)

Did What: improperly did, appeared to do, or failed to do something (a single act or omission)

In violation of what: in violation of some standard (the law, regulation, or policy)

When: what date



# Draft the Allegation(s)

Who:

Did What:

In violation of what:

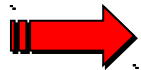
When:



# Phase 1: Pre-Investigation



- Receive the Complaint
- Analyze the Complaint
- Determine the Action
- Draft the Allegation(s)
- **Notify the Complainant**





# Notify the Complainant Acknowledge Receipt

IG sends a letter or e-mail to the complainant (if known) to inform him/her the complaint was:

- Referred
- Transferred
- Dismissed
- Investigated

Or, the IG

- Assists the complainant



# Notify the Complainant Anonymous Complainant

How do you respond to an anonymous complainant that sends you a letter?

- Can you contact the complainant?
- Can you acknowledge receipt of the complaint?
- Can you provide the results of an investigation?

So...what about an anonymous e-mail complainant?

- Can you contact the complainant and request information?
- Can you provide the results of an investigation?





# Phase 1: Pre-Investigation Complaint Resolution Procedure

**Pre-  
Investigation  
n  
Completed!!  
!**

**Receive the Complaint**

**Analyze the Complaint**

**Draft the Allegation(s)**

**Determine the Action**

**Notify the Complainant**



# Naval Inspector General

---

Questions??